

U.S. SECURITIES AND EXCHANGE COMMISSION
PUBLIC NOTICE OF VACANCY
VACANCY ANNOUNCEMENT NUMBER: ESHA-03-033-MB

Opens: Sept. 22, 2003 First Cut-Off: Oct. 10, 2003 Second Cut-Off: Oct. 31, 2003 Closes: Nov. 14, 2003

SECURITIES COMPLIANCE EXAMINER, SK-1831-7
(This position is in the bargaining unit.)

GRADE/SALARY: SK-7 (\$37,645 - \$53,411 per annum)

PROMOTION POTENTIAL: SK-13

VACANCIES: Multiple

WORK SCHEDULE: 40 Hours per Week

LOCATION: Boston District Office, Boston, Mass.

This job is open to all U.S. citizens. Moving expenses will not be paid. Travel: 6-10 nights per month

(IMPORTANT: This public notice will have two cut-offs before the final closing date. In order to receive consideration for any cut-off, applications must be received at the address shown on the attached **EMPLOYMENT GUIDE** no later than the date of that cut-off. Applications received after the last cut-off date will be considered by the final closing date cited above. Positions may be filled by qualified candidates from any cut-off period.)

BENEFITS: SEC provides the following benefits - Thrift Savings Program, Federal Employees' Health Benefits Program, Work Life Programs, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Long Term Disability, Flexible Spending Account, and Life Cycle Account (annual reimbursement of certain employee expenses).

WHAT WORK WILL YOU PERFORM?

As a trainee and under close supervision you will:

- 1) Perform compliance examinations of broker dealers, transfer agents, investment companies and investment advisers by reviewing reports, including registration applications, annual audited financial statements and periodic financial reports, and prior inspection reports.
 - 2) Examine the operations and financial condition of companies, the adequacy of books and records, procedures for safeguarding funds and securities, and methods of doing business, applying a developing knowledge of the securities laws, rules and regulations.
 - 3) Prepare required schedules, worksheets and narrative materials, evaluate findings and formulate conclusions to the degree of compliance with statutory and/or regulatory requirements.
 - 4) Conduct interviews with management and other personnel such as officers and partners of registrants, private investors, attorneys, accounting industry personnel, industry and banking officials, and law enforcement officials etc., concerning operational and examination issues to determine possible regulatory violations.
 - 5) Anticipate enforcement needs and gather evidence to support preliminary findings of violations.
 - 6) Prepare reports of findings as well as correspondence to the examined entity outlining deficiencies and corrective actions to be taken.
-

WHAT ARE THE QUALIFICATION REQUIREMENTS?

Candidates for SK-7 must have either: (1) an undergraduate degree (2) one full year of graduate-level education (3) one full year of specialized experience or (4) superior academic achievement at the bachelor's degree level as defined further below.

1. Candidates' undergraduate education must include a bachelor's degree with at least 18 semester hours or 27 quarter hours in business subjects (such as finance, economics, or other business-related subjects) PLUS at least 6 semester hours or 9 quarter hours in accounting or auditing courses. **OR**
2. Candidates who have one full year of graduate-level education may include at least 18 semester hours or 27 quarter hours in relevant business-related courses at the graduate level, and must also have the minimum 6 semester hours/9 quarter hours of accounting or auditing courses. **OR**

3. Candidates may also qualify for SK-7 if they possess at least one full year of the following types of **specialized experience**. You **must** fully describe this experience in your résumé.
- a. Experience in a broker-dealer, investment company, transfer agent, investment adviser, or investment banking firm.
 - b. Experience in a State, Federal, or self-regulatory agency involving examination of the operations of broker-dealers, transfer agents, investment companies, investment advisers, banking institutions, or of the books and records of other reporting companies or equivalent complex records.
 - c. Banking experience related to securities investment, or experience in the investment department of an insurance company.
 - d. Professional work as an accountant or auditor in a certified public accounting firm or public accounting firm involving audits of brokerage firms, underwriters, underwriting firms, investment companies, investment advisors, or of reporting companies. **OR**
4. Candidates who qualify based on your **superior academic** records at the bachelor's degree level **MUST** meet one of the following requirements.
- a. Rank in the upper third of your graduating class or the major subdivision such as College of Liberal Arts or School of Business Administration, etc. (Standing in the upper third of your major area of study is not qualifying under this provision such as Marketing, Finance, Criminal Justice, Accounting, etc.); **OR**
 - b. Maintained a grade-point average (GPA) of 3.0 or higher out of possible 4.0. This applies to all completed undergraduate course work, or those completed during the final 2 years of undergraduate study; **OR**
 - c. Maintained an overall GPA of 3.5 or higher out of a possible 4.0 for your major field of study, or those courses in your major completed during your final 2 years of undergraduate study; **OR**
 - d. Be a member of a *national scholastic honor society* such as Phi Beta Kappa, Alpha Sigma Mu, etc. (not freshman honor societies) recognized in the Association of College Honor Societies publications.

GPA's are rounded to one decimal place. For example 2.95 rounds to 3.0 and 2.94 rounds to 2.9. If more than 10 percent of your undergraduate course work was taken on a pass/fail or similar basis, you can meet the requirements **only** based on your class standing or membership in an honor society.

Applicants who are seeking qualification for the position based on their GPA (but who have **not** yet received a degree) **must** graduating no later than January, 2004. All GPA requirements specified above must be met at the time of graduation, and a final **official** college/university transcript **must** be provided before an applicant can be hired.

HOW TO APPLY

See the attached "EMPLOYMENT GUIDE." If you do not submit all information as requested, you may lose consideration for the announcement. This information will allow us to determine if you meet all legal requirements for Federal employment and the qualifications for this position.

EQUAL EMPLOYMENT OPPORTUNITY

Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, sexual orientation, national origin, or disability status. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.

REASONABLE ACCOMMODATION: The SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of application or hiring process, please notify the SEC's Disabilities Coordinator in OAPM. The decision on granting reasonable accommodation will be made on a case-by-case basis.

FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: www.sec.gov/jobs.shtml

Security Clearance: *The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.*

PLEASE SEE THE ATTACHED EMPLOYMENT GUIDE TO HELP YOU IN THE APPLICATION PROCESS

**ESHA JOB POSTING
EMPLOYMENT GUIDE
U.S. Securities and Exchange Commission
Office of Administrative and Personnel Management (Mail Stop 0-1)
6432 General Green Way
Alexandria, VA 22312**

Thoroughly read this guide and provide all information requested.

The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and it allows us to evaluate your qualifications for the position.

JOB APPLICATION	<ul style="list-style-type: none"> • Apply by submitting a résumé or <i>Optional Application for Federal Employment</i> (OF-612). • Place in the top right corner of <u>each</u> page of your application: job title, grade and job announcement number of the position for which you are applying. • Veterans should provide a copy of a DD-214 verifying honorable military service. • Provide your social security number, name, address, home and office phone numbers. • Applications received in postage-paid Government envelopes will not be considered and are a violation of Federal law and regulation. SEC will only accept FAX applications if there is evidence that they were not sent from Federal Government FAX machines.
LEGAL REQUIREMENTS	<ul style="list-style-type: none"> • United States citizenship is required. You <u>must</u> state in your application that you are a U.S. citizen. • Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.
EDUCATION & TRAINING	<ul style="list-style-type: none"> • List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree). • <u>You must submit with your application a copy of your college or university transcript</u> if the job announcement requires it.
EXPERIENCE	<ul style="list-style-type: none"> • List the job title of your position; name and address of employer; and, supervisor's name and telephone number. <u>You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.</u> • Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company. • Indicate whether we may contact your present and previous employers. • If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.
EVALUATION PROCEDURES	<ol style="list-style-type: none"> 1. A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.
SPECIAL SELECTION PRIORITY	<ul style="list-style-type: none"> • This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP). • To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be <u>well-qualified</u> as a displaced Federal employee for the SEC position. • If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.

FILING A JOB APPLICATION	<p>You may:</p> <ol style="list-style-type: none"> 1. Mail your application through the U.S. Postal Service. Mailed applications must be received by one of the cut-dates specified or by the closing date stated on the vacancy announcement. 2. Fax your application to the fax phone number listed on the announcement. Applications must be received by one of the cut-off dates or by the closing date specified on the vacancy announcement.
WHERE TO SEND YOUR APPLICATION	<p>U.S. Securities and Exchange Commission Office of Administrative and Personnel Management (Mail Stop 0-1) Attention: Shielyn Kelly 6432 General Green Way Alexandria, VA 22312 KellyS@sec.gov (Fax Number: 703-914-0571)</p>